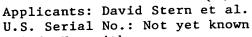
Applicant or Patentee:	David Stern et al.	Attorney's
Serial or Patent No.:	Not yet known	Docket No: 54202/JPW
Filed or Issued:	Herewith	,
Title of Invention or	Patent: A Method For Evalua	ating The Ability Of A Compound
	To Inhibit Neuroto	cicity
	ERIFIED STATEMENT (DECLARAT	
SMA	ALL ENTITY STATUS UNDER 37	
	AND §1.27(d) - NONPROFIT (RGANIZATION
T banaku daalara that	I am an official amnoughed	to act on behalf of the nonprofit
organization identifies		to act on benaif of the nonprofit
_		
Name of Organization:	The Trustees of Columbia	University in the City of New York
or granteness.		
Address of Organization	n: 110 Low Memorial Librar	y, West 116th & Broadway
· ·	New York, New York 1002	
	, , , , , , , , , , , , , , , , , , , ,	
TYPE OF ORGANIZATION:		
X UNIVERSITY OR (OTHER INSTITUTION OF HIGHE	R EDUCATION
		ICE CODE 26 U.S.C. \$\$501(a) and
501(c)(3)		
NONPROFIT SCIE	NTIFIC OR EDUCATIONAL UND	ER STATUTE OF STATE OF THE UNITED
STATES OF AMER	ICA	
NAME OF STATE:		
CITATION OF STA		
		AL REVENUE SERVICE CODE 26 U.S.C.
	O1(c)(3) IF LOCATED IN THE	
		EDUCATIONAL UNDER STATUTE OF STATE
	STATES OF AMERICA J.F LOCAT	ED IN THE UNITED STATES OF AMERICA
NAME OF STATE:	A THEFT.	
CITATION OF STA	ATOTE.	
I haraby declare that	the nonprofit organization	n identified above qualifies as a
nereby declare that	as defined in 37 C.F.R.	\$1.9(e)* for purposes of paying
reduced fees under 35 H	S.C. \$41(a) and 41(b), wit	h regard to the invention entitled
A Method For Evaluating	The Ability Of A Compound	To Inhibit Neurotoxicity
by inventor(s) David St	ern, Shi Du Yan and Benjam	in Wolozin
described in:		
X the specificat	ion filed herewith	
application se	rial no filed	
patent no.	issued	
I hereby declare that	rights under contract or la	w have been conveyed to and remain
with the nonprofit orga	anization with regard to the	he above identified invention.
		lusius saak individual
If the rights held by t	the nonprofit organization	are not exclusive each individual,
concern, or organization	on known to have rights to	the invention is listed below and other than the inventor, who could
no rights to the invent	l business senses with	37 C F P 61 9(d)* or a nonprofit
not quality as a smal	r pusiness concern under	37 C.F.R. §1.9(d)* or a nonprofit
organization under 37 (U.F.K. 1.7(e)~	
a NOTE . Caranta mari	find cratements are requi	red from each person, concern, or
NUIE: Separate veri	ried statements are require	verring to their status as small
organization having fi	ignes to the invention av	citing to their states as small
entities. 37 C.F.R. §1	.41.	
Name: N/A	·	
Name: Address:		
Mag1633.		

Small Business Concern

Individual

Nonprofit Organization



Filed: Herewith

Small Entity/Nonprofit Page -2-

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. 37 C.F.R. §1.28(b)*.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

None of Person Signing: Mr. Jack M. Granowitz	
Name of reciprosition: Executive Director, Columbia Innovation	Enterprise
Address: Amsterdam & 120th Street - Suite 363 New York, New York	0027
Signature: Soch M. Framenty	
Date Of Signature: Dicumber 4, 1997	

Attorney's

Docket No: 54202/JPW/SBS

Filed or Issued:

Herewith

Title of Invention or Patent: A Method For Evaluating The Ability Of A Compound To Inhibit Neurotoxicity



VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS UNDER 37 C.F.R. \$1.9(f) AND §1.27(d) - NONPROFIT ORGANIZATION

And 31.27(d) Non Not II Grown 2012
I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:
Name of Organization: Loyola University of Chicago
Address of Organization: 2160 South 1st Avenue Maywood, Illinois 60153
TYPE OF ORGANIZATION: X UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C. §§501(a) and 501(c)(3) NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA NAME OF STATE: CITATION OF STATUTE: WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C. §§501(a) and 501(c)(3) IF LOCATED IN THE UNITED STATES OF AMERICA WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE
OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA NAME OF STATE: CITATION OF STATUTE: I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. §1.9(e)* for purposes of paying reduced fees under 35 U.S.C. §41(a) and 41(b), with regard to the invention entitled A Method For Evaluating The Ability Of A Compound To Inhibit Neurotoxicity
by inventor(s) David Stern, Shi Du Yan and Benjamin Wolozin
described in:
X the specification filed herewith application serial no. filed patent no. issued
I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.
If the rights held by the nonprofit organization are not exclusive each individual, concern, or organization known to have rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 C.F.R. §1.9(d)* or a nonprofit organization under 37 C.F.R. 1.9(e)*
^a NOTE: Separate verified statements are required from each person, concern, or organization having rights to the invention averring to their status as small entities. 37 C.F.R. §1.27.
Name: N/A
Address:
Individual Small Business ConcernNonprofit Organization

Applicants: David Stern et al. U.S. Serial No.: Not yet known

Filed: Herewith

- 2"

Small Entity/Nonprofit
Page -2-

lacknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. 37 C.F.R. \$1.28(b)*.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. \$1001, and that such willful false statements may jeopardize the validity of thapplication, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing:	John A. Robinson. M.D.
Title In Organization:	Associate Dean for Research
Address;	2160 South 1st Avenue
	Maywood, Illippia 19153
4 ignature:	John Marin
Date Of Signature:	(7)15/47

DECLARATION AND POWER OF ATTORNEY

As a below-named inventor. I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

A METHOD FOR EVALUATING THE ABILITY OF A COMPOUND TO INHIBIT NEUROTOXICITY

A HEIMOD TOK E	THE TIPE IN THE TENTE			
the specification of (check one)	(which:			
	is attached he	ereto.		
	X was filed on_	December 23, 1997	7	as
	Application Serial No	08/997,464		
	 -		(if app	licable)
I acknowledge the a to be material to p I hereby claim force 365(b) of any force International App	I have reviewed and undens, as amended by any amended by any amended by any amended by any amender to the U.S. I atentability as defined in The application (s) for paterbication which designated to identified below any foreignation having a filing date	ndment referred to above Patent and Trademark Of tile 37. Code of Federal tile 35. United States Cod nt or inventor's certifica at least one country oth gn application for paten	e. ffice all informa Regulations, Se de, Section 119 nie, or Section 2 ner than the Ur t or inventor's on at application fi	ation known to me ection 1.56. (a)-(d) or Section 365(a) of any PCT nited States, listed certificate, or PCT rom which priority
Prior Foreign App	plication(s)		Priorit	y Claimed
<u>Number</u>	Country.	Filing Date	<u>Yes</u>	<u>No</u>
N/A				

David Stern et al.
U.S. Serial No.: 08/997,464
Filed: December 23, 1997
Declaration and Power of Attorney

Page 2

I hereby claim the benefit under Title 35. United States Code, Section 119(e) of any United States provisional application(s) listed below:

Provisional Application No.	Filing Date	<u>Status</u>
N/A		

I hereby claim the benefit under Title 35. United States Code. Section 120 of any United States Application(s). or Section 365(c) of any PCT International Application(s) designating the United States listed below. Insofar as this application discloses and claims subject matter in addition to that disclosed in any such prior Application in the manner provided by the first paragraph of Title 35. United States Code. Section 112. I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56, which became available between the filing date(s) of such prior Application(s) and the national or PCT international filing date of this application:

Application Serial No.	<u>Filing Date</u>	<u>Status</u>
N/A		
		
	· · · · · · · · · · · · · · · · · · ·	

And I hereby appoint

John P. White (Reg. No. 28,678); Christopher C. Dunham (Reg. No. 22,031); Norman H. Zivin (Reg. No. 25,385); Jay H. Maioli (Reg. No. 27,213); William E. Pelton (Reg. No. 25,702); Robert D. Katz (Reg. No. 30,141); Peter J. Phillips (Reg. No. 29,691); Wendy E. Miller (Reg. No. 35,615); Richard S. Milner (Reg. No. 33,970); Albert Wai-Kit Chan (Reg. No. 36,479); Robert T. Maldonado (Reg. 38,232); Mary Anne P. Tanner (Reg. No. 40,197); Paul Teng (40,837); Gerard M. Wissing (Reg. No. 36,309); George M. MacDonald (Reg. No. 39,284); Richard F. Jaworski (Reg. No. 33,515); Elizabeth M. Wieckowski (Reg. No P-42,226); Victor Devito (Reg. No. 36,325); Pedro C. Fernandez (Reg. No. P-41,741); William D. DeVaul (Reg. No. P-42,483); Todd A. Holmbo (Reg. No. P-42,665); and Steven J. Lieb (Reg. No. P-41,943)

and each of them, all c/o Cooper & Dunham LLP. 1185 Avenue of the Americas. New York, New York 10036, my attorneys, each with full power of substitution and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent, to transact all business in the Patent and Trademark Office connected therewith and to file any International Applications which are based thereon under the provisions of the Patent Cooperation Treaty.

Page 3

David Stern et al. U.S. Serial No. 08/997,464 Filed: December 23, 1997

Declaration and Power of Attorney

Please address all communications, and direct all telephone calls, regarding this application to:

John P. White, Esq. Reg. No. 28,678

Cooper & Dunham LLP

1185 Avenue of the Americas

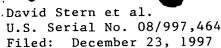
New York, New York 10036

Tel. (212) 278-0400

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first joint inventor <u>David Stern</u>
Inventor's signature David 5ten
Citizenship United States of America Date of Signature 7/17/98
Residence 63 Tanners Road, Great Neck, New York 11020
Post Office Address Same as residence
Full name of joint inventor (if any) Shi Du Yan
Inventor's signature
Citizenship People's Republic of China Date of signature 7/17/98
Residence 60 Haven Avenue, Apartment 4-B, New York, New York 10032
Post Office Address Same as residence
Full name of joint inventor (if any) Benjamin Wolozin
Inventor's signature
Citizenship United States of America Date of signature
Residence 215 South Monroe Street, Hinsdale, Illinois 60521-3921
Post Office Address Same as residence
·





Filed: December 23, 1997

Declaration and Power of Attorney

Please address all communications, and direct all telephone calls, regarding this application to:

John P. White, Esq. Reg. No. 28,678

Cooper & Dunham LLP

1185 Avenue of the Americas
New York, New York 10036

Tel. (212) 278-0400

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true: and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or
irsi joini inventor David Stern
nventor's signature
Citizenship United States of America Date of signature
Residence_ 63 Tanners Road, Great Neck, New York 11020
Post Office Address Same as residence
Full name of joint nventor (if any)Shi Du Yan
nventor's signature
Citizenship People's Republic of China Date of signature
Residence 60 Haven Avenue, Apartment 4-B, New York, New York 10032
Post Office Address Same as residence
Full name of joint
inventor (if any) Benjamin Wolozin
Inventor's signature Omtamic Oolf
Citizenship United States of America Date of signature 71398
Residence 215 South Monroe Street, Hinsdale, Illinois 60521-3921
Post Office Address Same as residence